

09/22/03

17114 U.S. PTO

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PTO/SB/05 (11-00)  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. TUMB-102 CON 2 CIP

First Inventor Bandini et al.

Title Method and System for E-Mail Filtering

Express Mail Label No. EL 790614715 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit and original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 33]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S. C. 113) [Total Sheets 4]
5. Oath or Declaration [Total Pages 3]
  - a. Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: MS Patent Application  
Commissioner for Patents  
Alexandria, VA 22313-1450

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: **Unexpected Declaration for additional inventors**

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part of prior application No. 09/967,117

Prior application information:

Examiner Not yet assigned

Group Art Unit: 2132

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS



Customer Number or Bar Code Label

26137

or ☐

Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

GUY PERRY

Registration No. (Attorney/Agent)

46,194

Signature

Date

September 22, 2003

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

Communications Corporation appointing Skadden, Arps, Slate, Meagher & Flom LLP to prosecute the invention in parent Application Serial No. 09/180,377.

Return Receipt Postcard.

The fees for submitting this patent application are estimated as follows:

				SMALL ENTITY		OTHER	
				Rate	Fee	Rate	Fee
Basic Fee					\$ 375.00		\$ 750.00
Total Claims	53	( - 20)	33	x 9.00	\$ --	x 18.00	\$ 594.00
Indep. Claims	02	( - 3)	--	x 42.00	\$ --	x 84.00	\$
Multiple Dependent Claim(s):				--	\$140.00	\$ --	\$280.00
				TOTAL:	\$	TOTAL	\$1,344.00

The Commissioner is hereby authorized to charge the filing fee estimated to be **\$1,344.00** and any fees which may be required in connection with this submission, to Skadden, Arps, Slate, Meagher & Flom LLP **Deposit Account No. 19-2385**. (Please reference Attorney Docket No. **TUMB-102 CON 2 CIP**).

X Priority of Application No. **60/053,668**, filed **July 24, 1997** is claimed under 35 U.S.C. § 119.

Date: September 22, 2003

Respectfully submitted,

By:   
GUY PERRY Reg. No. 46,194

Skadden, Arps, Slate, Meagher  
& Flom LLP  
Four Times Square  
New York, New York 10036  
(212) 735-3000

**Enclosures**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : **Bandini et al.**  
Serial No. : Not Yet Assigned  
Filed : **Concurrently Herewith**  
Title : **Method and System for  
E-Mail Filtering**

CERTIFICATE OF MAILING UNDER 37 CFR § 1.10


"Express Mail" Mailing Label Number

EL 790 614 715 US

Date of Deposit: September 22, 2003

I hereby certify that this paper and all enclosures referred to therein are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated above with sufficient postage in an envelope addressed to Commissioner for Patents, Alexandria, VA 22313-1450

Name of Person Mailing: Michael McGuire

  
Signature of Person Mailing

PATENT APPLICATION TRANSMITTAL LETTER AND FEE AUTHORIZATION

Commissioner for Patents  
MS PATENT APPLICATION  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith are the following documents:

Specification, including claims, abstract and four (4) figures (4 sheets);

Utility Patent Application Transmittal (PTO Form SB/05); and

Declaration and Power of Attorney by inventors Bandini and Odnert (unsigned);

Declaration and Power of Attorney executed by inventors Dickinson and Krishnamurthy in prior application Serial No. 09/180,377, and also submitted in prior application Serial No. 09/967,117 of which the present application is a Continuation-in-Part. U.S. Application Serial Number 09/180,377 was filed under 35 U.S.C. 371 as a designated country application from PCT International Application Serial Number PCT US98/15552, filed on July 23, 1998 and therefore identifies the invention by its international application serial number, PCT US98/15552. In connection with the latter Declaration and Power of Attorney, the following are also submitted: Copies of two Assignments: (a) assigning the invention from the inventors to Worldtalk Corporation; and (b) assigning the invention from Worldtalk Corporation to Tumbleweed Communications Corporation; and Power of Attorney by Tumbleweed